

TECHNICIAN PERSONNEL
Regulation 430

NEW JERSEY DEPARTMENT OF
MILITARY AND VETERANS AFFAIRS
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TECHNICIAN PERSONNEL REGULATION 430

NEW JERSEY NATIONAL GUARD PERFORMANCE APPRAISAL SYSTEM

This regulation contains the regulatory requirements of the New Jersey National Guard Performance Appraisal System. It is consistent with 5 CFR Part 430 and in compliance with DOD 1400.24M, CPM Subchapter 430, Appendix A. Where conflicting provisions exist with NGB TPR 430; NJDMAVA TPR 430 will prevail. This regulation is effective for planning upon receipt and for implementation 1 January 1998.

BY ORDER OF THE GOVERNOR:

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Chapter 1

Introduction

1-1. Purpose

To prescribe policy and procedures and to assign responsibility for the operation of the Technician Performance Appraisal System for the Army and Air technicians employed by the New Jersey Department of Military and Veterans Affairs.

1-2. Objectives

The objective of the New Jersey National Guard Technician Appraisal System is to provide a meaningful and efficient method for the evaluation of individual, team and organizational performance. Supervisors and managers will assure that technicians understand clearly what their performance standards are and the performance is rated in a timely manner

1-3. Applicability

This regulation applies to all excepted and competitive National Guard Technicians employed under the provisions of 32 U.S.C. 707 except for technicians occupying temporary positions for which employment is not reasonably expected to exceed the minimum performance requirement in a consecutive 12 month period.

1-4. Basic requirements

This regulation requires that:

- a. Written performance standards and critical job elements be established for all positions within 30 days of start of employment or job change.
- b. Technicians be informed of their performance standards and critical job elements at the beginning and during each appraisal period.
- c. Technicians be periodically provided feedback throughout the appraisal period on how well they are progressing compared against the established performance standards. All performance counseling sessions will be recorded on NJDMAVA Form 430-1.
- d. The results of the performance appraisal be used as the basis for

training, rewarding, reassigning, within grade and step increases, promoting, reducing in grade, removing, reduction in force, and as a basis for assisting technicians in improving unsatisfactory performance.

e. Actions to reassign, reduce in grade, or remove based on unsatisfactory performance be taken only after the technician has been given a prior thirty (30) day notice.

f. No predetermined statistical distributions be used that would prevent a fair appraisal based on established performance standards.

g. A State review and appeals board be established to review and resolve disagreements over assigned appraisals.

1-5. Definitions

a. Appraisal: The continuing process by which the technician is kept informed of how his/her performance compares against established performance standards and results in a final performance appraisal at the end of the appraisal period.

b. Appraisal Period: The period of time, normally one year, but not less than 120 days, for which the technician's performance will be appraised. Annual appraisal periods will normally end on the last day of the technician's birth month. An employee who has a change of appraiser, promotion or change of duty which occurs anytime during their birth month will be deemed to have served to the end of the appraisal period and will be given an annual appraisal the same as if no change had occurred. The new appraisal period will begin on the first day of the next month.

c. Appraiser: The individual most responsible for the technician's performance, for establishing performance standards, for counseling the technician on the critical elements of the job, and for appraising the technician based on pre-established, mutually understood performance standards. The appraiser will normally be the technician's immediate supervisor.

d. Reviewer: An individual in the technician's chain of command who is the appraiser's immediate supervisor.

e. Critical Element: A work assignment or responsibility of such importance that unsatisfactory performance in that element would result in a determination that the employee's overall performance is unsatisfactory.

f. Non-critical Element: A dimension or aspect of individual, team, or organizational performance, exclusive of a critical element, that is used in assigning a summary level. Such elements may include, but are not limited to, objectives, goals, program plans, work plans, and other means of expressing expected performance.

g. Performance Standard: A description of the level of achievement, using levels of performance standards, necessary for acceptable performance of the duties and responsibilities of the position. Standards for all technician's will be established at each appraisal level.

h. Overall Performance Appraisal: The appraisal assigned at the end of the appraisal period that describes the overall performance level of the technician on performance of each individual job element.

i. Unsatisfactory Performance: Performance of a technician that fails to meet performance standards in one or more critical elements of that technician's position.

j. Employee Performance File (EPF): A file maintained by the HRO containing performance related documents and serves as a historical record of performance.

k. Supervisor's Work Folder (SWF): A file maintained by the first level supervisor that contains documents to assist in tracking performance, recording recognition, achievement, and training, and for annotating occurrences in the work place needed to correct conduct deficiencies. This file contains the NGB Form 904-1, (Supervisor's Record of Technician Employment), NJDMAVA Form 430 (Performance Standards Form), NJDMAVA Form 430-1 (Technician Performance

Feedback Form), NJDMAVA Form 430-2 (Performance Appraisal Form), and holds historical and current information on a technician as far as personnel actions are concerned.

1-6. Responsibilities

a. The Adjutant General:

(1) Establish a Performance Appraisal Program, and proper operation and administration of the program.

(2) Communicate with supervisors and technicians, (e.g. through formal training) about relevant parts of the state's Performance Appraisal Program.

(3) Establish a state review and appeal process to review and resolve complaints about assigned appraisals.

(4) Ensure that each manager and supervisor is appraised on performance in furthering Equal Employment Opportunity goals and objectives.

(5) Ensure that written performance standards are established for each technician position, including those serving in a trial/probationary period.

b. Human Resources Officer (HRO):

(1) Establish a Performance Appraisal Program for the state that provides a meaningful and efficient method for the evaluation, of individual, team and organizational performance.

(2) Administer the State Performance Appraisal Program. Provide timely advice and assistance to supervisors and managers.

(3) Develop and conduct training necessary to ensure that all technicians (and non-technicians involved in the appraisal process) are adequately trained in the state's performance appraisal program including responsibilities of all the parties.

(4) Notify supervisors and managers of due dates for technician performance appraisals.

(5) Review completed appraisals for timeliness, completeness, and conformance with the regulatory requirements of the state's Performance Appraisal Program.

(6) Keep necessary records, evaluate effectiveness of the state's

Performance Appraisal Program, and bring to the attention of The Adjutant General those areas needing refinement or improvement.

(7) Ensure that necessary personnel actions or decisions based on the performance appraisal are carried out.

(8) Administer the state's review and appeal process.

c. Managers, Supervisors and Technicians are collectively responsible for:

(1) Individual, team, and organizational performance and for creating a work culture and environment that promotes a high-performance, high-involvement organization.

(2) Cooperate in the establishment of written performance standards and critical job elements for each individual position.

(3) Maintain an ongoing dialogue that will keep technicians informed as to how their performance compares to established performance standards and provide a clear understanding of the level of performance required for each appraisal level.

CHAPTER 2

THE APPRAISAL PROCESS

2-1. Performance planning.

a. At the beginning of the appraisal period, managers/supervisors having control over the same position description, will identify major/critical job elements and performance standards, insuring standardization where possible. Major/critical job elements, task/duty statements, and expected standards will be recorded in blocks 5, 6, and 7 on NJDMAVA Form 430. They should be updated to reflect significant changes in a position at anytime during the appraisal period. A completed copy of this form will be given to the technician at the beginning of the appraisal period, and as any changes occur. A copy will also be provided to the HRO.

b. Identification of Major Job Elements. Identification of major job elements is accomplished through an analysis of the duties, and responsibilities of each job. Organizational goals and objectives are first identified. Then, the major duties and responsibilities, including important project assignments that contribute to those goals and objectives and for which the technician will be held responsible, are later specified. These are considered the major job elements. Sources of information that may be helpful in identifying major job elements are: job description, mission and functional statements, inspection reports, and facility unique performance requirements. As a minimum, the official position description will be used. (see appendix A).

c. Identification of Critical Elements. After the major elements have been identified, a determination must be made as to which elements are critical elements of the position. An asterisk (*) will be placed beside each element listed in block 5, NJDMAVA Form 430, identifying critical elements. (see appendix A).

d. Developing the Task/Duty Statements. Once the major and critical elements have been identified, the next step is to list the specific task/duty statements in block 6. The task/duty statements are used as support to indicate how a major or critical element will be achieved. (see appendix A).

e. Establishing Expected Performance Standards. When the task/duty statements have been recorded, the next step is to describe in block 7 specific and separate performance standards for each of the supporting task/duty statements listed in block 6. The standards listed should describe what a technician must do to be appraised at the "meets standard" and "exceeds standard" level of performance. The performance standards described here should be realistic and attainable and should present a challenge to the technician. To attain this objective, performance standards need

to be measurable and consistent with the grade level and duties of the position. When performance standards cannot be expressed in terms of quality, quantity, or timeliness, they may be stated in terms of expected results or manner of performance. (see Appendix A.)

2-2. Requirements for supervisors and managers.

Critical elements and performance standards for supervisors and managers should reflect organizational as well as individual duties and responsibilities. Furthering equal employment opportunity (EEO) will be identified as a major or critical element for all technicians who are responsible for appraising the performance of one or more technicians. See appendix B for guidelines on appraising performance in EEO. When applicable to the position, performance standards should be established to measure organizational accomplishments of supervisors and managers as well as individual performance.

2-3. Performance feedback.

a. Purpose: Performance Feedback Sessions (PFS) and associated Technician Performance Feedback Form (TPFF), NJDMAVA 430-1, provide the means for the appraiser to tell the technician what is expected regarding duty performance and how well he or she is meeting those expectations. It also fosters discussion and allows the technician to clarify or make input into the appraisal process. The appraiser will use the TPFF to support the performance appraisal.

b. Use of technician performance feedback form (TPFF):

(1) Forms should be used, as a minimum, when:

(a) Within 30 days of new employment date or change of job.

(b) At the mid point of the appraisal period (+/- 30 days).

(2) The TPFF must be signed and dated by the appraiser and technician.

(3) Both the appraiser and technician will retain a copy of the

TPFF. There is no need to retain the initial or job change TPFF beyond the next feedback session. The mid point TPFF will be maintained until 30 days following the end of year appraisal.

c. Feedback sessions.

(1) Documented feedback sessions do not replace informal day to day feedback. Employee counseling and feedback should be on going and continuous.

(2) Feedback sessions should be accomplished in a one to one setting. Feedback sessions by telephone should be conducted only when absolutely necessary; such as when geographically separated, when on extended TDY, or otherwise impractical.

(3) As a minimum at least one TPFF should be on file prior to the execution of any Technician Performance Appraisal. The TPFF will be kept until 30 days following the end of the appraisal period.

(4) The technician will notify the appraiser and if necessary the reviewer if a required feedback session did not take place.

(5) An appraiser's failure to conduct a required feedback session may result in an appeal or invalidation of the performance appraisal.

(6) Signatures on the TPFF only signify that the feedback session took place.

(7) Information and entries contained on the TPFF are performance related. Job elements, expected performance and actual performance are valid entries. Issues, such as tardiness, appearance, bearing, substance abuse etc., should only be discussed regarding their relationship to performance.

Employee counseling are not feedback issues and should be conducted using normal disciplinary counseling or adverse action processes.

d. Working with the TPFF: (See Appendix C)

(1) Elements. The element number and asterisk for critical elements are necessary. Only titles of elements from the Performance Standards need be entered (i.e.

Supervision, Technical Knowledge, etc.).

(2) Tier evaluation block. The element rating performance level initial Unsatisfactory, Meets Standard, or Exceeds Standards are the only entries required in this block.

(3) Comments block. Comments are mandatory in the event of an Unsatisfactory level of performance. However, comments may also include areas of improvement, future expectations, areas of concern on the part of the appraiser and technician, and exceptional performance.

(4) The TPF may be typed or hand written.

2-4. The performance appraisal.

a. At the end of the appraisal period, the supervisor will review the technician's performance in relation to the established levels of performance and assign a performance level rating for each individual element. Adjective performance level rating of Exceeds standards, Meets standards, and Unsatisfactory will be used.

b. The rating for each job element will be determined by compliance with the stated levels of performance in the performance plan. For an overall rating of Exceeds Standards a technician must have received at least one (1) Exceeds Standards rating in a critical element and Meets Standards in all other elements. For an overall rating of Meets Standards a technician must have received a Meets Standard rating in all critical elements. An unsatisfactory rating in a critical element will result in an overall rating of Unsatisfactory regardless of any other rating received in any other elements.

c. NJDMAVA form 430-2 will be utilized to record the technician's official performance appraisal. (see Appendix C).

2-5. Trial/probationary period appraisals.

a. New technicians are to be carefully observed and appraised during the 12 month trial/probationary period to determine whether they have the qualities needed for permanent Government service. During this period, supervisors should provide specific training and assistance to improve the technician's work performance if needed. Supervisors of technicians serving a trial/probationary period must, no earlier than the beginning of the 9th month nor later than the end of the 10th month of such period, submit through supervisory channels to the HRO a signed NJDMAVA Form 430-2. This evaluation is not considered an official performance appraisal for the purpose of appeal rights. The purpose of this evaluation is to determine whether the technician has the qualities needed for permanent Government service. The immediate supervisor will check block 8 on NJDMAVA Form 430-2 certifying whether the technician is to be retained or not retained. For retention beyond the trial/probationary period, this evaluation must be at least at the "meets standards" level. If retention is not recommended, the HRO will take appropriate action to remove the technician from the Federal service. No portion of this paragraph is to be interpreted as preventing or discouraging the initiation of a removal action at anytime during this trial/probationary period.

b. A technician serving a trial/probationary period will not be given an official appraisal until after completing the required 12 months of Federal service. After completing the 12 months of service, he/she would be given an official performance appraisal in accordance with the established appraisal period.

2-6 Performance appraisal while on detail

When a technician has been officially detailed to another position either to the same or to a different supervisor for a period covering 60

to 120 days, written performance standards and critical job elements will be established for this position, and the technician's performance while on the detail will be appraised by the detail supervisor. This additional appraisal will be considered, but may not raise or lower the overall performance appraisal. For details in excess of 120 days, the additional appraisals will be given equal weight in determining the overall appraisal. NJDMAVA Form 430-2 will be used to record this appraisal.

2-8 Appraisal schedule

Performance appraisals for all permanent and indefinite technicians will be accomplished according to the following schedule:

Birth Month	Appraisal Pd	Due Date
Jan	1 Feb - 31 Jan	15 Feb
Feb	1 Mar - 28 Feb	15 Mar
Mar	1 Apr - 31 Mar	15 Apr
Apr	1 May - 30 Apr	15 May
May	1 Jun - 31 May	15 Jun
Jun	1 Jul - 30 Jun	15 Jul
Jul	1 Aug - 31 Jul	15 Aug
Aug	1 Sep - 31 Aug	15 Sep
Sep	1 Oct - 30 Sep	15 Oct
Oct	1 Nov - 31 Oct	15 Nov
Nov	1 Dec - 30 Nov	15 Dec
Dec	1 Jan - 31 Dec	15 Jan

2-9 Postponement of annual performance appraisals

Annual technician appraisals may be postponed normally for not more than 120 calendar days in circumstances when the supervisor has had insufficient time to observe the technician's performance in his/her present assignment because the supervisor of the technician is newly assigned, or when the technician has not been performing the regularly assigned work because of extended details or absences. Postponements require the prior approval of the HRO.

2-10 Records

a. Official performance records are available for review by the technician concerned. These include,

but are not limited to, performance standards, performance feedback, appraisals, certification in connection with within-grade increases, incentive awards determinations, merit promotion material, trial/probationary period certification, and other related personnel management documents.

b. Any document that is used in support of a performance appraisal will be maintained by the supervisor and kept in the technician's supervisor work folder (SWF). During the processing phases of performance appraisals, only the individuals directly in the technician's chain-of-command and those with an official need to know in the performance of their assigned duties will be permitted to review performance appraisals. This applies even after the final action has been accomplished.

c. Performance documents maintained by the HRO will be placed in a separate envelope and kept in the technician's Official Personnel Folder.

2-11 Evaluating the effectiveness of the appraisal system

a. The records and information outlined in para 2-8 will be used to monitor the effectiveness of the State's appraisal system. The HRO is responsible for evaluating appraisal results to insure that the system is being implemented in accordance with this regulation.

b. The evaluation should include but not limited to:

(1) Timeliness and completeness of appraisals.

(2) Proper use of critical elements and performance standards.

(3) Insuring that appraisals are valid and not required to conform to any predetermined statistical distribution.

(4) Insuring that recommended personnel actions are consistent with the overall appraisal assigned.

c. Data gathered by the HRO will be used as necessary to refine and improve the State performance appraisal system. Suggestions for

improving this system should be brought to the attention of the HRO.

CHAPTER 3

PERSONNEL DECISIONS BASED ON PERFORMANCE APPRAISALS

3-1 General

Appropriate consideration must be given to technician performance appraisals when making certain personnel decisions. At the end of the appraisal period (or at anytime during the appraisal period) the appraiser will make recommendations involving the personnel actions or decisions listed below. The recommendations are subject to review by the next higher level supervisor and/or the approving official.

3-2 Within-grade and step increase

To be eligible for a with-in grade increase (GS technicians) or step increase (FWS technicians) overall performance must be at the meets standards level or higher.

3-3 Awards

Technicians demonstrating an overall level of performance that meets or exceeds the standards for the position may be recommended for monetary or other incentive awards under the technician incentive awards program. (See NJDMAVA TPR 451)

3-4 Reassigning, reducing in grade, or removal

See Chapter 4.

3-5 Training

The performance evaluation process, including on-going discussions between the supervisor and the technician, may result in the identification of specific training needs. Recommendations for training should not be limited to the below standard performer, but to help any technician achieve a higher level job performance and proficiency. Thus, recommended training may be remedial or developmental in nature.

3-6 Trial/Probationary period completion

Information gained during the appraisal process will provide the necessary information to assist the supervisor in deciding whether or not to retain a technician beyond the trial/probationary period. A decision to terminate a technician during the trial/probationary period may be made at anytime.

Chapter 4

Unsatisfactory performance

4-1 Actions Based on Unsatisfactory Performance.

Technicians will be periodically reminded of the critical job elements and expected performance standards for their positions, and will be informed when their performance is unsatisfactory in any element of the job. Technicians will be assisted in improving areas of unsatisfactory performance by counseling, increased supervisory assistance, additional training, etc. However, if the technician's performance in any critical element continues to be unsatisfactory despite efforts by the supervisor or manager to improve performance, the technician must be reduced in grade (demoted), reassigned, or removed from employment. Before initiating an action to reduce in grade or remove a technician based on unsatisfactory performance, consideration should be given to reassignment to another position for which the supervisor feels the technician is qualified or in placing the technician in a closely supervised Performance Improvement Program (PIP). This PIP will be for a period of not less than 30 days. It will consist of the supervisor identifying in writing the identified performance deficiencies of the technician and what steps are expected to be taken to correct them. It will outline what additional training or assistance will be afforded the technician and what other resources will be made available to him/her to assist in improving job performance to the Meets Standards or better rating. The employee will also be put on notice that a failure to bring

his/her performance to the Meets Standards level during the PIP will result in a reduction in grade or removal

4-2. Requirements.

An action to reduce in grade or remove from employment may be initiated anytime by the technician's supervisor if the technician's performance continues to be unsatisfactory in one or more critical job elements. The supervisor does not need to wait until the end of the appraisal period to initiate these actions. A technician against whom such an action is initiated is entitled to:

a. A minimum 30 day advance written notice of the action to be taken (reduction in grade or removal), which identifies the critical element(s) and instances of unsatisfactory performance on which the action is based (see fig 4-1). This advance written notice must be concurred in by an official who is in a higher level position than the immediate supervisor. (This requirement does not apply when the action is being taken by The Adjutant General). This is not a proposed notice, but is to be considered as a final notice of the action to be taken because before this final step the technician would have been given adequate assistance and time to improve performance.

b. If a technician submits a request to his/her supervisor to change an unsatisfactory performance appraisal, the supervisor will carefully review this information and advise the technician in writing whether the unsatisfactory performance appraisal is sustained or will be changed. A request submitted to the State review and appeals board will be handled in accordance with instruction in Chapter 5.

4-3. Unsatisfactory performance related to alcohol or drug abuse.

Technicians whose unsatisfactory performance may be related to alcoholism or drug abuse will be referred to the Technician Assistance Program.

4-4. Records.

When a performance action is taken against a technician, all relevant documentation will be placed in the SWF. This file is maintained by the supervisor and will contain any records of counseling, PIP plan, and documentation of deficiencies. This documentation will be maintained by the supervisor for a period of 1 year following any action based on performance.

CHAPTER 5 APPEALS

5-1. State Review and Appeals Board.

The state review and appeals board will consist of three (3) members to provide an impartial review on performance appraisal appeals. Members serving on this board cannot be in the chain of command of the technician who is filing an appeal and should not be in a lower graded position than the technician appealing. The technician is entitled to representation during the board process.

5-2. Filing an Appeal.

A technician desiring to file an appeal of a performance appraisal, other than for unsatisfactory performance, may file an appeal to the HRO no later than 30 calendar days after the technician receives the appraisal. An appeal based on unsatisfactory performance must be filed within the 30 day advance written notice period outlined in paragraph 4-1 and Appendix C. In reviewing performance appraisal appeals including unsatisfactory performance, the board by majority vote will recommend to The Adjutant General to change the appraisal as requested by the technician or sustain the appraisal without change. When reviewing unsatisfactory performance appraisals, the board will only be concerned with the performance appeal; it will not review the personnel action taken as a result of an unsatisfactory appraisal. Supervisors have a right to present their case. The Adjutant General will make the final decision. All members of the board must be present at all times during the hearings, and must participate in deciding on a recommendation. A technician has no appeal rights beyond The Adjutant General on these matters.

5-3. Appeal Processing.

An appeal to the board is submitted through the Human Resource Officer who will assemble the board. The

appeal should contain the following information:

- a. Name of the technician
- b. Organization
- c. The appraisal being appealed
- d. Why the appeal should be changed
- e. Performance level requested
- f. Date notice received

When all the necessary information is not available, the technician should submit what is available, and state why the other information is not available.

5-4. Board Procedures.

During the proceedings, the board may admit oral or written evidence from the technician or the technician's immediate supervisor. Within fifteen (15) calendar days, the board will review and submit their recommendations directly to The Adjutant General with an information copy to the HRO. The technician and the technician's representative (if desired by the technician), and the representative of The Adjutant General will submit information the board deems pertinent. Such information may be presented orally, by presentation of witnesses, or in writing. In the submission of evidence, both oral and written information may be submitted to reach a decision, as long as the technician, the technician's representative, and the representative of The Adjutant General are given the opportunity to hear, and reply to the information submitted by the other parties, and are given an opportunity to question any witnesses. If any of these individuals are absent during the oral presentation, the absentee(s) must be furnished in writing any evidence admitted during their absence. The board may not use any written information to render a recommendation until the technician, the technician's representative (if any), and the representative of The Adjutant General have an opportunity to examine and reply to it. Board members must serve as impartial fact finders and review each case objectively. They must give

consideration to the merits of each
case.

**APPENDIX A.
IDENTIFYING CRITICAL ELEMENTS,
ESTABLISHING PERFORMANCE STANDARDS
AND CONDUCTING THE APPRAISAL**

A-1. OVERVIEW

The appraisal process is more than a once-a-year meeting between supervisor and technician during which performance over the past year is evaluated and recorded on an appraisal form. The National Guard Technician Performance Appraisal System requires that the supervisor and subordinate jointly, at the beginning of the appraisal period, review established job-related expectations of performance (performance standards). During the appraisal period, the technician should be kept informed as to how he or she is doing in regards to established expectations. Thus the final step, the overall performance appraisal (rating), should be of no surprise to the technician. (Following are the major components of the appraisal process:

a. Reviewing the Job. The technician's job and organization or mission requirements are reviewed and major/critical job elements and task/duty statements for each major/critical element established.

b. Setting Performance Standards. Specific expected results are identified for each major/critical element of the job.

c. Communicating the Performance Standards. Each technician should understand exactly what is expected of him or her during the appraisal period. This necessitates periodic review of the technician's performance and a discussion of how he/she is doing in regards to the established performance standards.

d. Appraising Technician Performance. At the end of the appraisal period, performance is discussed with the technician, and the final evaluation (rating) is entered on the appraisal form.

e. Recommending personnel actions. The annual performance evaluation may

require certain personnel actions. (See Chapter 3)

A-2. STEPS FOR SETTING PERFORMANCE STANDARDS

STEP 1: IDENTIFYING MAJOR AND CRITICAL JOB ELEMENTS AND SPECIFIC TASKS AND DUTIES OF EACH ELEMENT.

a. Gathering Information. The technician's position description should be the basic source of information for identifying major and critical elements of the job. From this and the supervisor's knowledge of workload priorities and mission requirements, the major elements of the job can be identified. Job elements are the measurable and objective results or end products of the job and not the steps or activities taken to achieve them.

b. Listing the Major Elements of the Job. After the technician's significant areas of responsibility (MAJOR JOB ELEMENTS) have been identified, they should be written in block 5 of NJDMAVA Form 430 as illustrated in figure A-1.

c. Assuring Suitability of Job Elements. To assure that job elements are suitable, supervisors should be able to answer yes to the following questions:

(1) Are the elements all inclusive and understandable? Is the total job covered?

(2) Are the elements objective? Do they refer to measurable outcomes as opposed to "trait ratings" (e.g., cooperative, resourceful, etc.)?

(2) Do the elements refer to work activity under the technician's control?

(3) Are the elements appropriate for the technician's series and grade?

(4) Are elements clear and specific?

(5) Are the elements derived from the overall mission of the organization? Are they compatible with and supportive of results assigned to other organizations in your directorate or branch?

d. Determining Critical Elements. Once the major job elements have been identified and listed, those critical

elements that are absolutely necessary for completing the job should be designated by an asterisk as shown in block 5 of example 1. A critical element of the job is one that is so significantly important that performance below the meets standard for the job element outweighs meets standard or exceeds standard on other elements of the job and requires remedial action and denial of a within-grade increase. It may be the basis for removing or reducing the grade level of the employee.

e. Assuring Critical Elements are Critical. As a means of checking whether critical elements are really critical, supervisors should be able to answer yes to the following questions:

(1) Are you willing to recommend the removal or demotion of the technician if the performance standard for this element is not met?

(2) Will substandard performance of this element really affect mission accomplishment?

(3) Is this element really attainable by the technician? Is this element within the technician's control?

(4) Is there at least one critical element established for the job?

STEP 2: ESTABLISHING PERFORMANCE STANDARDS.

a. Purpose. Performance standards are a narrative description of the level of achievement for fully acceptable performance in a particular major/critical job element. In other words, they express how well the major/critical element is to be performed. Performance standards should be objective and measurable and should enable the user to accurately evaluate performance in terms of some end product or outcome. They should describe both the meets and exceeds level of performance that will fully satisfy the supervisor's expectations and allow for the successful completion of that part of the organization's function and goals for which that particular job is responsible.

b. Ways of Expressing Performance Standards:

(1) Quality of work. A standard measuring the quality of a task tells how well a task must be performed and is expressed in terms of accuracy, appearance, usefulness, and effectiveness. A quality standard may be expressed as an error rate, such as the number or percentage of errors allowable per unit of work, or as general results to be achieved (if numeral rates are not possible). An example is: "X percent of reports submitted are accepted without revision."

(2) Quantity of work. This type of standard describes how much work is to be completed within a given time period. An example is: "Conducts X surveys per Y period."

(3) Timeliness. This type of standard describes "when", "how soon", and "within what period" work is to be completed. An example is: "All suggestions evaluated within X days after receipt."

(4) Expected results. This type of standard describes a specific result to be obtained, and often uses phrases such as "in order that", "as shown by", etc. An example is: "Decisions on supply needs made with sufficient accuracy that no supply item remains in short supply more than X days."

(5) Manner of performance. This type of standard is used for positions in which personal contacts are an important factor, or when an employee's personal attitude, mannerisms, and behavior have an effect on performance. An example is: "Speaks clearly with sufficient volume to be understood by persons attending briefing."

(6) Method of doing. This type of standard is used when there is a set procedure for accomplishing a task and when the use of other than the prescribed procedure would be unsatisfactory. An example is: "Forms completed in accordance with office directives."

c. Assuring Completeness of Prepared Standards. To assure completeness of prepared standards,

supervisors should be able to answer yes to the following questions:

- (1) Are tasks clearly and simply stated, and do they cover all critical/major duties?
- (2) Do standards clearly state how well (quality), how soon (timeliness), and in what manner each task should be performed? Where feasible, are work units used, and do they allow a reasonable margin or tolerance?
- (3) Do standards truly reflect meets or exceeds standards performance? Are they attainable? Can they be exceeded?
- (4) Will adequate performance as shown in the standards produce the required results?
- (5) Do standards clearly reflect management's requirements in terms of observance of rules and regulations and safety responsibilities?
- (6) Do standards show how much and how well the technician is expected to do without using qualifying statements such as "knows", "is able to", "processes"?
- (7) Are standards written so that unsatisfactory performance can clearly be identified and remedial action justified?
- (8) Are standards written so that Exceeds standards performance can be clearly distinguished from meets standards performance?
- (9) Do standards for supervisory jobs reflect such required factors as leadership, decision making, planning and organizing, managing positions, selecting and assigning technicians, training/developing subordinates, using incentives, maintaining technician management communications, administering constructive discipline, administering leave, and promoting safety?

TO BE FILED WITH NJDMAVA TPR 400

TPR 430 - 1 September 1997

APPENDIX B
GUIDELINES FOR APPRAISING SUPERVISORS
AND MANAGERS ON THEIR PERFORMANCE IN
EEO

Performance standards for furthering equal employment opportunity (EEO) will be appropriate to the technician's position and should be stated in terms of visible affirmative efforts. Therefore, the following guidelines should be used when appraising managers and supervisors on their performance in EEO:

a. Has the manager/supervisor communicated to all subordinates his/her commitment to EEO and what is expected from each member of the work force?

b. Has the manager/supervisor discussed the State EEO affirmative action plan with subordinates and solicited recommendations for implementation, modification, or improvements?

c. What specific actions has the manager/supervisor taken to identify and eliminate any barriers to the employment and advancement of minorities and women?

d. Do the managers/supervisors support the state's plan, including goals and timetables, to address identified problem areas within the work force?

e. Does a review of the manager's/supervisor's decisions relative to selection, training, and awards indicate that full consideration is being given to all employees, including minorities and women?

f. What actions has the manager/supervisor taken to provide upward mobility opportunities for eligible technicians in the work force?

g. Has the manager/supervisor insured that the complaints poster (NGB Form 713-4) has been posted on the bulletin board?

h. What specific affirmative steps, including setting a personal example, has the manager/supervisor taken to assure the acceptance of all technicians, including minorities and women?

i. Does the manager/supervisor maintain records that show formal EEO training of all subordinate managers/supervisors including both initial and updated orientation?

j. Does the record indicate that the manager/supervisor assigns like penalties for like offenses regardless of race, color, religion, sex, national origin, age, or other nonmerit factors?

APPENDIX C
SAMPLE LETTER FORMATS AND
INSTRUCTIONS FOR COMPLETING FORMS

C-1 General

This appendix contains a sample notice of decision based on unsatisfactory performance and instructions for completing NJDMAVA Forms 430, 430-1 and 430-2.

**C-2 Sample Letter - Notice of
Written Decision Based on
Unsatisfactory Performance**

(Appropriate letterhead)

(OFFICE SYMBOL)

(DATE)

MEMORANDUM FOR

SUBJECT: Decision to Remove/Reduce in Grade (Unsatisfactory Performance)

(State the specific action you have decided to take, i.e. removal, or change to lower grade. Include series and grade of position incumbent occupies and show full unit name and mailing address to which the technician is assigned. For example...)

1. This memorandum will serve as your adverse notice that I have decided to remove you from your technician position as Unit Administrator, GS-0303-09, Position Number 12345000, located at Company A, 123 Infantry Battalion, End of the Road, Fort Dix, New Jersey not earlier than thirty (30) days from the date of your receipt for this notice. The reasons for this proposed removal are:

(Give the reason for removal action. Use all available information in sufficient detail so that the technician will understand why the action is being taken.)

a. On 1 January 1997 you and I established written performance standards and identified critical job elements for your position. At that time you signed NJDMAVA Form 430 indicating that you and I had discussed these standards and critical elements.

b. On 2 March 1997, I informed you orally and in writing that your performance regarding critical element number ____ pertaining to ____ was unsatisfactory because you had failed to (*list specific instances of unsatisfactory performance on which this action is based*). On 16 March 1997, I provided you with specific written instructions on how to improve your performance on this critical job element.

c. Despite counseling and on-the-job training, your performance of this critical job element continues to be unsatisfactory. Therefore, I have initiated this process to terminate your employment.

(Advise the technicians of the right to review material and where it is located, if not attached.)

2. A copy of the Performance Appraisal materials relied upon to support this proposal is attached.

(Advise technician of his/her right to reply orally or in writing, who to make reply to, time limits involved, and how to request an extension of time.)

3. You have a right to reply to this notice, either orally or in writing, to the deciding official (or board), COL John Jones, (include address and telephone number) who will decide whether or not the proposed action should be sustained. You may submit affidavits in support of your response. Your response must be submitted to arrive within thirty (30) calendar days of receipt of this notice, Consideration will be given to extend this period if you submit a request stating your reasons for requiring more time.

4. As soon as possible after your answer is received, or after expiration of the thirty (30) day limit if you do not respond, you will be given an original decision by the person or board designated to receive your reply.

5. You may contact the Employee Relations Specialist in the Human Resources Office for procedural guidance at DSN 944-0881 or Commercial (609) 562-0881.

6. If your conduct is affected by alcoholism, drugs, or other problems of a personal nature, you are encouraged to take advantage of our Technician Assistance Program. I urge you to contact the Technician Assistance Program directly at DSN 944-0856 or Commercial (609) 562-0856 for an immediate appointment, or the Alcohol and Drug Abuse Coordinator, at DSN 944- 0856 or commercial (609) 562-0856.

Encls

Supervisor's Signature Block

Receipt acknowledged: _____
(Signature) (Date)

I (Technician's name): _____ the thirty (30) day response.
Waive/Do not waive)

(Receipted copy of proposed adverse action is furnished to the Human Resources Office.)

Figure C-1. Sample memorandum for notice of written decision based on unsatisfactory performance

C-3 Instructions for completing NJDMAVA Forms 430 (Performance Standards Form)

NJDMAVA form will be completed in accordance Chapter 2 and Appendix A. One copy of the completed form will be forwarded to the HRO for file in the technician's official personnel file.

C-4 Instructions for completing NJDMAVA Form 430-1 (Technician Performance Feedback Form)

At the beginning and midpoint of the appraisal period appraisers will conduct performance counseling with the technician. All performance counseling sessions will be recorded utilizing NJDMAVA Form 430. Original will be given to the technician and one copy will be filed in the SWF (see para 2-3 for complete discussion on performance feedback).

- Block 1 - Enter the technician's First name, Middle Initial, Last Name.
- Block 2 - Enter the technician's job title and grade.
- Block 3 - Enter date of discussion.
- Block 4 - Enter element from NGB Form 430.
- Block 5 - Enter current rating for element in block 4 (Unsat/~~Meets~~/**Exceeds** standard).
- Block 6 - Enter appropriate comments.
- Block 7 - Typed name and signature of appraiser.
- Block 8 - Signature of technician.

C-5 Instructions for completing NJDMAVA Form 430-2 (Performance Appraisal Form)

At the end of the appraisal period the technician's appraiser will complete NJDMAVA Form 430-2 in three (3) copies. The original will be given to the technician, one copy will be placed in the SWF and one copy will be forwarded to the HRO for inclusion in the technician's official file.

The form will be completed as follows:

- Block 1 - Enter the technician's First name, Middle Initial, Last Name.
- Block 2 - Enter the technician's job title and grade.
- Block 3 - Enter the technician's duty organization i.e. CSMS A.
- Block 4 - Enter the appraisal period, day month and year.
- Block 5 - Check the overall rating which is being assigned to the technician.
- Block 6 - Reference the item or element which is being commented on. Comments are only mandatory for unsatisfactory rating. All other comments are optional. Use reverse side of form to continue comments.
- Block 7 - Check the appropriate block. If standards changed attach a completed NJDMAVA Form 430.
- Block 8 - Only used for trial/probation appraisal. Check appropriate block. Blocks 5 thru 7 will not be completed.
- Block 9 - Insert the date initial and mid-point discussion took place. Both the technician and supervisor will initial.
- Block 10, 11, 12 - Type names & title of technician and supervisor (reviewer if unsatisfactory appraisal). Sign and date form.